



2814  
Patent Application  
Docket No. PARA 49784  
WJT08-0040

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Khosro Shamsaifar et al. )  
Serial No.: 10/051,144 ) Group No. 2817  
Filed: January 17, 2002 ) Examiner: Justin P. Bettendorf

For: **ELECTRONICALLY TUNABLE COMBLINE FILTER WITH ASYMMETRIC RESPONSE**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

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Commissioner for Patents,  
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Alexandria, VA 22313-1450

on May 13, 2003

Signature *William J. Tucker*

Dear Sir:

**INFORMATION DISCLOSURE STATEMENT**

Herewith are Form PTO-1449 and one copy of each document listed thereon (except for patent applications). Attention is also directed to any item(s) designated below:

1. A check is enclosed to cover the fee set forth in 37 CFR 1.17(p). Any additional fee required by this paper may be charged to Deposit Account No. 50-1481.

☒ 2. The undersigned certifies that each enclosed document was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the Information Disclosure Statement.

3. The relevance of any enclosed non-English language document(s) is concisely explained as follows.

Respectfully submitted,

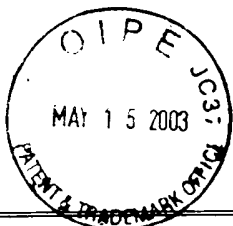
*William J. Tucker*  
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Reg. No. 41,356

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UNITED STATES PATENT AND TRADEMARK OFFICE



|   |  |                               |
|---|--|-------------------------------|
| <b>Form PTO-1449 Modified</b><br><br><b>List of Patents and Publications<br/>Cited by Applicant</b><br>(Use several sheets if necessary)<br><br><b>U.S. Patent Department of Commerce<br/>Patent and Trademark Office</b> | <b>Docket No.:</b> PARA 49784              | <b>Serial No.:</b> 10/051,144 |
|   | <b>Applicant:</b> Khosro Shamsaifar et al. |                               |
|   | <b>Filing Date:</b> January 17, 2002       | <b>Group:</b> 2817            |

**U.S. PATENT DOCUMENTS**

| Examiner<br>Initial |     | Document No. | Date          | Name             | Class | Subclass |
|---------------------|-----|--------------|---------------|------------------|-------|----------|
|                     | A-1 | 5,578,976    | Nov. 26, 1996 | Yao              | 333   | 262      |
|                     | A-2 | 4,992,759    | Feb. 12, 1991 | Giraudeau et al. | 333   | 204      |

**FOREIGN PATENT DOCUMENTS**

| Examiner<br>Initial |     | Document No.   | Publication<br>Date | Country                   | Translation     |    |
|---------------------|-----|----------------|---------------------|---------------------------|-----------------|----|
|                     |     |                |                     |                           | Yes             | No |
|                     | B-1 | WO 01/33660 A1 | May 10, 2001        | PCT Patent Application    | X               |    |
|                     | B-2 | WO 00/35042    | June 15, 2000       | PCT Patent Application    | X               |    |
|                     | B-3 | 05308204       | Nov. 19, 1993       | Patent Abstracts of Japan | X<br>(abstract) |    |

**OTHER DOCUMENTS**

| Examiner<br>Initials |     | Author, Title, Date, Pertinent Pages, Etc.  |
|----------------------|-----|---|
|                      | C-1 | European Search Report for EP Application No. EP 03 25 0308 dated April 1, 2003.  |
|                      | C-2 | Xiao-Peng Liang et al. "Hybrid Resonator Microstrip Line Electrically Tunable Filter" 2001 IEEE MTT-S International Microwave Symposium Digest. (IMS 2001). Phoenix, Az, May 2-25, 2001, IEEE MTT-S International Microwave Symposium, New York: IEEE, US, Vol. 3 of 3, 20 May 2001, pp. 1457-1460. |
|                      | C-3 |   |
|                      | C-4 |   |

**Date Examined:****Examiner:**


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|  |   |                        |                     |
|--|---|------------------------|---------------------|
| <p><b>TRANSMITTAL FORM</b></p> <p><i>(to be used for all correspondence after initial filing.)</i></p> |   | Application Number     | 10 035 829          |
|  |   | Filing Date            | October 18, 2001    |
|  |   | First Named Inventor   | Vlad J. Nevotny     |
|  |   | Art Unit               | 2874                |
|  |   | Examiner Name          | Unassigned          |
| Total Number of Pages in This Submission   | 4 | Attorney Docket Number | AONIP001C1 (AO-666) |

## ENCLOSURES (Check all that apply)


|   |  |   |
|---|--|---|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment/Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input checked="" type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/<br>Incomplete Application<br><input type="checkbox"/> Response to Missing Parts<br>under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a<br>Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation<br>Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD. Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication<br>to a Technology Center (TC)<br><input type="checkbox"/> Appeal Communication to Board<br>of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to TC<br>(Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Other Enclosure(s) (please<br>Identify below)<br>Return Receipt Postcard |
| <div>Remarks</div>  |  |   |

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

|                          |   |
|--------------------------|---|
| Firm<br>or<br>Individual | Arthur J. Behiel, Patent Attorney   |
| Signature                |  |
| Date                     | May 05, 2003  |

## CERTIFICATE OF TRANSMISSION/MAILING

First-class mail in an envelope addressed to Commissioner for Patents, Washington, DC 20590 on this date.

|                  |   |  |                 |
|------------------|---|--|-----------------|
| Typed or printed | Laurie Moreno   |  |                 |
| Signature        |  |  | Date 05.05.2003 |

This collection of information is required by 37 CFR 1.55. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 422 and 37 CFR 1.54. This collection is estimated to take 12 minutes to complete, including gathering information and submitting the completed application form to the USPTO. The new law, beginning in 2013, will also use. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20590-5040, (3030) 707-9000, or by email to [uspto.comments@uspto.gov](mailto:uspto.comments@uspto.gov). **DO NOT FILL, RE-OPEN, ETC. FORMS TO THIS ADDRESS. SEND TO:**

MAY 15 2003

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Vlad J. Novotny and Parvinder Dhillon  
Assignee: Active Optical Networks, Inc.  
Title: "MICRO-OPTO-ELECTRO-MECHANICAL SWITCHING SYSTEM"  
Serial No.: 10/035,829 Filed: October 18, 2001  
Examiner: Unknown Tel: Unknown  
Docket No.: AONIP00C1 Art Unit: 2874

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Commissioner For Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §1.56, §1.97 and §1.98, Applicants bring the 17 documents listed on the enclosed form PTO-1449 to the Examiner's attention in the above-captioned application. Citation of the listed documents shall not be construed as:

1. an admission that the documents are necessarily prior art with respect to the instant application;
2. a representation that a search has been made; or
3. an admission that the information cited is, or is considered to be, material to patentability as defined in §1.56(b).

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Respectfully submitted,



0182  
MAY 15 2003

|  |  |
|--|--|
| U.S. Department of Commerce, Patent and Trademark Office   | Serial No.: 10/035,829                           |
|  | Filing Date: 10/18/2001                          |
| SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT | Inventors: Vlad J. Novotny and Parvinder Dhillon |
|  | Group Art Unit: 2874                             |
| "MICRO-OPTO-ELECTRO-MECHANICAL SWITCHING SYSTEM"           | Examiner Name: Unknown                           |
|  | Attorney Docket No.: AONIP00C1 (AO-666)          |

U.S. Patent Documents

| *Examiner Initial |   | Document Number | Date     | Name            | Class | Subclass | Filing Date, If Appropriate |
|-------------------|---|-----------------|----------|-----------------|-------|----------|-----------------------------|
|                   | M | 6,252,466 B1    | 06/26/01 | Kawamura        | 331   | 25       |                             |
|                   | N | 6,097,859       | 08/01/00 | Solgaard et al. | 385   | 17       |                             |
|                   | O |                 |          |                 |       |          |                             |
|                   | P |                 |          |                 |       |          |                             |
|                   | Q |                 |          |                 |       |          |                             |

Foreign Patent Documents

|  |   | Document Number | Date | Country | Class | Subclass | Translation |    |
|--|---|-----------------|------|---------|-------|----------|-------------|----|
|  |   |                 |      |         |       |          | Yes         | No |
|  | R |                 |      |         |       |          |             |    |

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

|  |   |  |
|--|---|--|
|  | S | James A. Walker, "The Future of MEMS in Telecommunications Networks." Pages P1 P7. Bell Laboratories, Lucent Technologies. February 2, 2000.           |
|  | T | D.J. Bishop Presentation, "Silicon Micromachines for Lightwave Networks: Can Little Machines Make it Big?" 83 pages. February 1999.                    |
|  | U | D. J. Bishop, "Silicon Micromachines for Lightwave Networks: The Little Machines That Will Make it Big." SPIE Vol. 11, No. 2, December 2000. 11 pages. |
|  | V |  |
|  | W |  |